

Patent Docket P0943

CERTIFICATE UNDER 37 CFR 3.73(b)

Applicant(s): Dr. Ross G. Clark  
Neil Gesundheit  
Marc R. Hammerman, M.D.  
Steven B. Miller, M.D.

Application No.: 08/445,806 Filed: 22 MAY 1995For: METHOD OF ADMINISTRATION OF IGF-I

GENENTECH, INC.,  
(Name of Assignee)

a Corporation  
(Type of Assignee, e.g., corporation, partnership, university,  
government agency, etc.)

certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel 7651, Frame 0349, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel   , Frame   , or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at Reel   , Frame   , or for which a copy thereof is attached.

☒ Copies of assignments or other documents in the chain of title are attached.

The undersigned has reviewed all the documents in the chain of title of the patent application identified above and, to the best of undersigned's knowledge and belief, title is in the assignee identified above.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: June 2, 1997Name: Janet E. HasakTitle: Manager, Patent Prosecution and TrademarksSignature: Janet E. Hasak

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
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FEBRUARY 09, 1996

PTAS

GENENTECH, INC.  
JANET E. HASAK  
460 POINT SAN BOULEVARD  
SOUTH SAN FRANCISCO, CA 94080UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/21/1995

REEL/FRAME: 7651/0349  
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

## ASSIGNOR:

CLARK, ROSS G.

DOC DATE: 07/05/1995

## ASSIGNOR:

GESUNDHEIT, NEIL

DOC DATE: 07/25/1995

## ASSIGNOR:

HAMMERMAN, MARC R.

DOC DATE: 07/14/1995

## ASSIGNOR:

MILLER, STEVEN B.

DOC DATE: 07/14/1995

## ASSIGNEE:

GENENTECH, INC.  
460 POINT SAN BRUNO BOULEVARD  
SOUTH SAN FRANCISCO, CALIFORNIA  
94080-4990

## ASSIGNEE:

WASHINGTON UNIVERSITY  
ONE BROOKINGS DRIVE  
ST. LOUIS, MISSOURI 63130

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GENENTECH, INC. LEGAL DEPT.

SENT BY:

6- 2-97 :11:12AM :

GENENTECH LEGAL→

703 305 7362:#11/19

. 7651/0349 PAGE 2

SERIAL NUMBER: 08445805  
PATENT NUMBER:

FILING DATE: 05/22/1995  
ISSUE DATE:

STEVEN POST, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

USSN 08/445,805

RECORDATION FORM COVER SHEET  
PATENTS ONLYU.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
Atty Dkt No. P0943

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Dr. Ross G. Clark  
Neil Gesundheit  
Marc R. Hammerman, M.D.  
Steven B. Miller, M.D.

## 2. Name and address of receiving party(ies):

GENENTECH, INC.  
460 Point San Bruno Boulevard  
South San Francisco, CA 94080-4990  
AND  
Washington University  
One Brookings Drive  
St. Louis, Missouri 63130Additional name(s) of conveying party(ies) attached? Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment                      Merger  
Security Agreement              Change of Name  
Other:Execution Date: July 5, 1995, July 14, 1995 and July 25,  
1995

## CERTIFICATE OF MAILING

I, Patricia Ferguson, hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner of Patents and Trademarks, Washington, D.C. 20231 on September 18, 1995.

Patricia Ferguson  
Patricia Ferguson9/18/95  
Date Signed

## 4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)  
08/445,805

B. Patent No.(s)

Additional numbers attached? Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Janet E. Hasak  
GENENTECH, INC.  
460 Point San Bruno Boulevard  
South San Francisco, CA 940806. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$ 40.00  
Enclosed☒ Authorized to be charged to deposit account8. Deposit account number:  
07-0630

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Janet E. HasakName of Person Signing  
Registration No. 28,616Janet E. Hasak

Signature

September 18, 1995

Date

Total number of pages comprising cover sheet, attachments and document: 6

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
Box Assignments  
Washington, D.C. 20231

U.S.S.N. 08/445,805

Docket No. P0943

**ASSIGNMENT**

WHEREAS, Dr. Ross G. Clark, a citizen of New Zealand, residing at 711 Ursula Avenue, Pacifica, CA 94044, and Neil Gesundheit, a citizen of the USA, residing at 250 Portola Court, Palo Alto, CA 94022, (hereinafter "ASSIGNORS"), have Invented a new and useful invention in

**METHOD OF ADMINISTRATION OF IGF-I**

for which an application Serial No. 08/445,805 (Docket No. P0943) for Letters Patent has been filed by them on 22 MAY 1995; and

WHEREAS, GENENTECH, INC., a corporation organized and existing under and by virtue of the laws of the State of Delaware, having a place of business at 460 Point San Bruno Boulevard, South San Francisco, California 94080, is desirous of acquiring an interest in and to said invention, and in and to the Letters Patents to be obtained therefor;

NOW, THEREFORE, be it known by all whom it may concern;

That for good and valuable consideration the receipt of which is hereby acknowledged, the said ASSIGNORS have and do hereby sell, assign, transfer and set over unto the said GENENTECH, INC., its successors and assigns, the full and exclusive right, title and interest including all rights under the Paris Convention for the Protection of Industrial Property, in and to said invention, and in and to any and all Letters Patents to be granted and issued therefor, not only for, to, and in the United States of America, its territories and possessions, but for, to and in all other countries; and it has been and is hereby authorized and requested that the appropriate government agencies issue said Letters Patents to said GENENTECH, INC., in accordance with this Assignment.

Said ASSIGNORS covenant and agree to cooperate with GENENTECH, INC., to enable said GENENTECH, INC. to enjoy to the fullest extent the right, title and interest herein conveyed in the United States and foreign countries. Such cooperation by said ASSIGNORS includes prompt production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed necessary or desirable by said GENENTECH, INC., (a) for perfecting the right, title and interest herein conveyed (b) for prosecuting any of said applications; (c) for filing and prosecuting applications for reissuance of any of said patents; (d) for interference or other priority proceedings involving said invention; and (e) for legal proceedings involving said invention and any applications therefor and any patents granted thereon, including without limitation opposition proceedings, cancellation proceedings, priority contests, public use proceedings, infringement actions and court actions; provided, however, that the expense incurred by said ASSIGNORS in providing such cooperation shall be paid for by said GENENTECH, INC.

The terms and covenants of this assignment shall inure to the benefit of said GENENTECH, INC., its successors, assigns and other legal representatives, and shall be binding upon said ASSIGNORS, their respective heirs, legal representatives and assigns.

Said ASSIGNORS hereby warrant and represent that they have not entered and will not enter into any assignment, contract, or understanding in conflict herewith.

USSN 08/445,805

Page 2

IN WITNESS WHEREOF we undersign as follows;

South San Francisco

Dated: 5.7.95Dr. Ross G. Clark

South San Francisco

Dated: \_\_\_\_\_

Neil Gesundheit

USSN 08/445,805

Page 2

IN WITNESS WHEREOF we undersign as follows:

South San Francisco

Dated: \_\_\_\_\_

\_\_\_\_\_  
Dr. Ross G. Clark

South San Francisco

Dated: 7/25/95

  
Neil Gesundheit

Attorney Docket PO 943

USSN 08/445,805

PATENT ASSIGNMENT

WHEREAS, we, Marc R. Hammerman of 10459 Frontenac Woods Lane, St. Louis, Missouri, 63131, and Steven B. Miller of 8 Berkshire Drive, St. Louis, Missouri, 63117, have co-invented a *Method of Administration of IGF-1*, for which we have made an application for Letters Patent in the United States, having the Serial number 08/445,805, and the official filing date May 22, 1995, and

WHEREAS, Washington University, a corporation of the State of Missouri having its principal office and place of business at One Brookings Drive, St. Louis, Missouri, 63130, is desirous of acquiring the entire right, title, and interest in and to said inventions as disclosed in said application and in and to any Letters Patent or Patents, United States or foreign, to be obtained.

NOW THEREFORE, in consideration of the remuneration to be shared with the co-Inventors in accordance with the Washington University institutional policy on intellectual property in effect as of the date of this assignment and other good and valuable considerations, paid or to be paid, we, Marc R. Hammerman and Steven B. Miller, have sold, assigned, and transferred and do hereby sell, assign, and transfer unto the said Washington University, its successors, legal representatives and assigns, my entire right, title, and interest in and to the above mentioned invention, application for Letters Patent, and any and all Letters Patent or Patents, including divisionals, continuations, continuations-in-part, reissues and extensions to be obtained therefore in the United States and all foreign countries.

AND for the same consideration, we hereby agree to and with Washington University, its successors, legal representatives and assigns, that, at the time of execution of this assignment, we are the lawful co-owners of the entire right, title, and interest in and to the said inventions and the application for Letters Patent above mentioned, and that we are



USSN 08/445,805


unencumbered and have good and full right and lawful authority to sell and convey the same in the manner here set forth.

AND we further agree to cooperate with the Washington University, its successors, legal representatives, or assigns in the procurement, maintenance, enforcement and defense of any and all such Letters Patent as the University, its successors, legal representatives, or assigns may desire to apply for, but at the expense of the University, its successors, legal representatives, or assigns.

The Commissioner of Patents or other proper official is hereby authorized and requested to issue said Letters Patent to said Washington University in accordance with this assignment.

IN WITNESS WHEREOF, we have hereunto set our hand the 14<sup>th</sup>  
day of July, 1995.

  
Marc R. Hammerman

  
Steven B. Miller

STATE OF MISSOURI  
COUNTY OF ST. LOUIS

U.S.S.N. 08/445,805

## AUTHORIZATION

Genentech, Inc. hereby authorizes any of Janet E. Hasak, Daryl B. Winter, and Walter E. Buting to execute, on its behalf, Powers of Attorney and forms associated with the filing of patent and trademark applications in various foreign countries, contracts relating to biological deposits with the American Type Culture Collection in Bethesda, Maryland, certificates and other documents submitted under 37 CFR §3.73(b) to establish assignee ownership, and assignments to publishers of copyrights covering works authored by Genentech employees.

November 20, 1996

Date



Stephen Juelsgaard  
Vice-President and General Counsel  
Genentech, Inc.